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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 6696.US.02

First Inventor or Application Identifier Michael R. Schrimpf

Title DIAZABICYCLIC CENTRAL NERVOUS SYSTEM ACTIVE AGENTS

Express Mail Label No. EL507389955US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

 Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
 (Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 194]  
 (preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ☐
4. Oath or Declaration [Total Pages ☐
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
 (for continuation/divisional with Box 16 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
 (when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
 (Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) ☐ Statement filed in prior application  
 (PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)  
 (if foreign priority is claimed)
15. ☒ Other: Declaration and Power of Attorney (Unexecuted)

\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment
- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_
- Prior application information. Examiner \_\_\_\_\_ Group / Art Unit.

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Steven F. Weinstock				
	Abbott Laboratories				
Address	Department 377/AP6D-2				
	100 Abbott Park Road				
City	Abbott Park	State	IL	Zip Code	60064-6050
Country		Telephone	(847) 937-4559	Fax	(847) 938-2623

Name (Print/Type)	Daniel W. Collins	Registration No. (Attorney/Agent)	31,912
Signature	<i>[Signature]</i>	Date	April 12, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

# FEE TRANSMITTAL

## for FY 1999

*Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid See Forms PTO/SB/09-12*

### Complete if Known

Application Number	
Filing Date	April 12, 2001
First Named Inventor	Michael R. Schrimpf
Examiner Name	
Group / Art Unit	
Attorney Docket No.	6696.US.02

**TOTAL AMOUNT OF PAYMENT** (\$1772.00)

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **01-0025**  
Deposit Account Name **ABBOTT LABORATORIES**

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Fee Code	Entity Fee Code	Small Fee Code	Entity Fee Code	Fee Description	Fee Paid
101	760	201	380	Utility filing fee	710.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	760	208	380	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)** (\$ 710.00)

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
79	-20** = 59	18.00	1062.00
Independent Claims	1	-3** = 0	0.00
Multiple Dependent			0.00

\*\*or number previously paid, if greater, For Reissues, see below

Large Fee Code	Entity Fee Code	Small Fee Code	Entity Fee Code	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	78	202	39	Independent claims in excess of 3	
104	260	204	130	Multiple dependent claim, if not paid	
109	78	209	39	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2)** (\$ 1062.00)

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee Code	Small Fee Code	Entity Fee Code	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	0.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	0.00
139	130	139	130	Non-English specification	0.00
147	2,520	147	2,520	For filing a request for reexamination	0.00
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	0.00
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	0.00
115	110	215	55	Extension for reply within first month	0.00
116	380	216	190	Extension for reply within second month	0.00
117	870	217	435	Extension for reply within third month	0.00
118	1,360	218	680	Extension for reply within fourth month	0.00
128	1,850	228	925	Extension for reply within fifth month	0.00
119	300	219	150	Notice of Appeal	0.00
120	300	220	150	Filing a brief in support of an appeal	0.00
121	260	221	130	Request for oral hearing	0.00
138	1,510	138	1,510	Petition to institute a public use proceeding	0.00
140	110	240	55	Petition to revive - unavoidable	0.00
141	1,210	241	605	Petition to revive - unintentional	0.00
142	1,210	242	605	Utility issue fee (or reissue)	0.00
143	430	243	215	Design issue fee	0.00
144	580	244	290	Plant issue fee	0.00
122	130	122	130	Petitions to the Commissioner	0.00
123	50	123	50	Petitions related to provisional applications	0.00
126	240	126	240	Submission of Information Disclosure Stmt	0.00
581	40	581	40	Recording each patent assignment per property (times number of properties)	0.00
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))	0.00
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))	0.00
Other fee (specify) _____					0.00
Other fee (specify) _____					0.00

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ 0.00)

### SUBMITTED BY

Typed or Printed Name **Daniel W. Collins**

Signature

Date **April 12, 2001**

### Complete (if applicable)

Reg. Number **31,912**

Deposit Account User ID

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: M. R. Schrimpf, et al

Serial No.:

Filed: April 12, 2001

Title: DIAZABICYCLIC CENTRAL  
NERVOUS SYSTEM ACTIVE  
AGENTS

Case No.: 6696.US.02

Express Mail Label No.: EL507389955US

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as Express Mail in an envelope addressed to the:

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231, on:

Date of Deposit: April 12, 2001

*Robin S. Evans 4-12-01*  
Robin S. Evans Date

TRANSMITTAL LETTER

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed herewith for the patent application identified above entitled DIAZABICYCLIC CENTRAL NERVOUS SYSTEM ACTIVE AGENTS are the following:

1. Utility Patent Application Transmittal Letter
2. Fee Transmittal - 1 page (in duplicate);
3. Specification (178 Pages); Claims (15 Pages); Abstract (1 Page)
4. Unexecuted Declaration and Power of Attorney (3 Pages)
5. Two Return Receipt Postcards

The Commissioner is hereby authorized to charge any additional Filing Fees required under 37 CFR 1.16, as well as any patent application processing fees under 37 CFR 1.17 associated with this communication for which full payment had not been tendered, to Deposit Account No. 01-0025.

Dated: April 12, 2001

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Respectfully submitted,  
M. R. Schrimpf, et al.

*[Signature]*  
Daniel W. Collins  
Registration No. 31,912  
Attorney for Applicants